

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 12-2003)

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

400.00150101

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

Unassigned **10/524301**INTERNATIONAL APPLICATION NO.  
PCT/EP2003/008615INTERNATIONAL FILING DATE  
4 August 2003 (04.08.2003)PRIORITY DATE CLAIMED  
6 August 2002 (06.08.2002)

## TITLE OF INVENTION

PREPARATIONS BASED ON AZIRIDINO POLYETHERS AND THE USE THEREOF

## APPLICANT(S) FOR DO/EO/US

Thomas KLETTKE et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 201 891 278 US
23. ☒ Other items or information:

Itemized Return-Stamped Postcard, Transmittal Letter (1 pg); Application Data Sheet (3 pgs); English Translation of PCT/ISA/210 (3 pgs); Amended claims from IPER dated 22 July 2004 (In German and English) (8 pgs); authorization to charge Deposit Account \$900.00 for the filing fee. Please charge any additional fees or credit any overpayments to Deposit Account No. 13-4895.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>10/524301</b> Unassigned		INTERNATIONAL APPLICATION NO. <b>PCT/EP2003/008615</b>		ATTORNEY'S DOCKET NUMBER <b>400.00150101</b>	
24. The following fees are submitted:				Applicant use	Office use
<input checked="" type="checkbox"/> a) Basic national fee ..... \$300.00				\$ 300.00	
<input checked="" type="checkbox"/> b) Examination fee ..... \$200.00				\$ 200.00	
<input checked="" type="checkbox"/> c) Search fee ..... \$400.00				\$ 400.00	
<b>TOTAL OF ABOVE CALCULATIONS = \$1000.00</b>				\$ 900.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE		
37 - 100 =	-63 /50 =	0	x \$250.00	\$ 0.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	13 - 20 =	0	x \$50.00	\$ 0.00	
Independent claims	3 - 3 =	0	x \$200.00	\$ 0.00	
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00				\$ 0.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 900.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ 0.00	
<b>SUBTOTAL =</b>				\$ 900.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ 0.00	
<b>TOTAL NATIONAL FEE =</b>				\$ 900.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$ 0.00	
<b>TOTAL FEES ENCLOSED =</b>				\$ 900.00	
Amount to be refunded:					\$
Amount to be charged:					\$
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.					
b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>13-4895</u> in the amount of <u>\$900.00</u> to cover the above fees. A duplicate copy of this sheet is					
c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>13-4895</u> . A duplicate copy of this sheet is enclosed.					
d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.					
SEND ALL CORRESPONDENCE TO:					
ALBIN, Loren D.					
MUETING, RAASCH, & GEBHARDT, P.A.					
P.O. Box 581415					
Minneapolis, MN 55458-1415					
United States of America					
				SIGNATURE	
				Loren D. Albin	
				NAME	
				37,763	
				REGISTRATION NUMBER	

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Thomas KLETTKE et al.

Docket No.: 400.00150101

Title: PREPARATIONS BASED ON AZIRIDINO POLYETHERS AND THE USE THEREOF

**10/524301**  
BT01 Rec'd PCT/PTC 04 FEB 2005

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

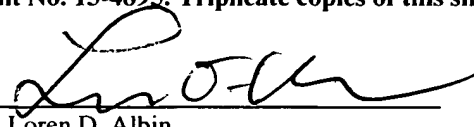
We are transmitting the following documents along with this Transmittal Sheet (which is submitted in triplicate):

- ☒ TRANSMITTAL LETTER to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 (2 signed copies - 2 pgs. each).
- ☒ Application Data Sheet ( 3 pgs).
- ☒ An itemized return postcard.
- ☐ An Assignment of the invention to \_\_ and Recordation Form Cover Sheet.
- ☐ A check in the amount of \$40.00 to pay the Assignment Recording Fee.
- ☐ A certified copy of a \_\_ application, Serial No. \_\_, filed \_\_\_\_, the right of priority of which is claimed under 35 U.S.C. §119.
- ☐ Computer readable form of "Sequence Listing." Applicants state that the paper copy form of the "Sequence Listing" section of the present application, and the computer readable form submitted herewith, are the same.
- ☐ Other: copy of English language translation of Int'l Appln as filed (35 U.S.C. (c)(2) (37 pgs); copy of IPER (form PCT/IPEA/409) in German (5 pgs); copy of ISR (form PCT/ISA/210) in German and English (6 pgs); copy of previously amended claims from IPER dated 22 July 2004 in German and English (8 pgs); and Preliminary Amendment ( 7 pgs).
- ☒ Please charge Deposit Account No. 13-4895 in the amount of \$900.00 to pay the filing fee, which is calculated below:

APPLICATION FILING FEE					
	Number of Pending Claims (1)	Claims Included in Basic Filing Fee (2)	Number of Extra Claims (1-2)	Cost per Extra Claim	Fee Required
Total Claims	13	- 20 =	0	x \$50 =	\$0
Independent Claims	3	- 3 =	0	x \$200 =	\$0
One or More Multiple Dependent Claims Presented? If Yes, Enter \$360 Here →					\$0
Enter Basic Filing Fee (Utility Patent-\$300) Here →					\$300.00
Enter Utility Application Size Fee - for each additional 50 sheets that exceeds 100 sheets (\$250) Here →					\$0
Enter Utility Application Search Fee (\$400) Here →					\$400.00
Enter Utility Application Examination Fee (\$200) Here →					\$200.00
<b>Total Application Filing Fee</b>					<b>\$900.00</b>

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers and please charge any additional fees or credit overpayment to Deposit Account No. 13-4895. Triplicate copies of this sheet are enclosed.

MUETING, RAASCH & GEBHARDT, P.A.  
Customer Number: 26813

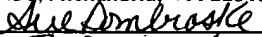
By:   
Name: Loren D. Albin  
Reg. No.: 37,763  
Direct Dial: 612-305-1225  
Facsimile: 612-305-1228

**CERTIFICATE UNDER 37 CFR §1.10:**

"Express Mail" mailing label number: EV 201 891 278 US

Date of Deposit: February 4, 2005

I hereby certify that the Transmittal Letter and the paper(s) and/or fee(s), as described hereinabove, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR §1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By:   
Name: Sue Dombroske

(LARGE ENTITY TRANSMITTAL UNDER RULE 1.10)